



Jenkins & Gilchrist
A PROFESSIONAL CORPORATION

1445 ROSS AVENUE
SUITE 3200
DALLAS, TEXAS 75202

(214) 855-4500
TELECOPIER (214) 855-4300

www.jenkins.com

William F. Esser
(214) 855-4181
wesser@jenkens.com

2872
1/20/03
#2-11-03

AUSTIN, TEXAS
(512) 499-3800

HOUSTON, TEXAS
(713) 951-3300

LOS ANGELES, CALIFORNIA
(310) 820-8800

SAN ANTONIO, TEXAS
(210) 246-5000

WASHINGTON, D.C.
(202) 326-1500

AFFILIATE OFFICE
CHICAGO, ILLINOIS
(312) 425-3900

To the Commissioner for Patents
Post Office Box 1450
Alexandria, VA 22313-1450

| |
|---|
| <p align="center">CERTIFICATE OF MAILING</p> <p>I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Post Office Box 1450, Alexandria, VA 22313-1450</p> <p>on <u>5/19</u>, 2003</p> <p><u>Carol Marsteller</u></p> <p>Signature</p> |
|---|

Re: Applicant(s): Gregory G. Cappiello, Robert H. Dueck, and Mikhail N. Sokolskiy
Serial No. 09/724,803
Filing Date: November 28, 2000
For: DIFFRACTION GRATING FOR WAVELENGTH DIVISION
MULTIPLEXING/DEMULTIPLEXING DEVICES
Docket No.: 62171-28PT

Dear Sir:

Transmitted for filing with the Patent and Trademark Office are the following documents for the above-referenced patent application:

1. Information Disclosure Statement;
2. Form PTO-1449;
3. References AA-AV, BA-BB, and CA-CK
4. Postcard acknowledgment.

Please address all communications related to this to:

William F. Esser
Jenkins & Gilchrist, P.C.
1445 Ross Avenue, Suite 3200
Dallas, Texas 75202-2799

In the event there is an under or over payment, please debit or credit our Deposit Account #10-0447. This letter is being filed in duplicate to facilitate processing.

Respectfully submitted,

William F. Esser

William F. Esser
Registration No. 38,053

WFE:ctj

RECEIVED
MAY 22 2003
TECHNOLOGY CENTER 2800



Docket No. 62171-28PT
(Formerly 34013-28PT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Cappiello, et al.) Group Art Unit: 2872
Serial No.: 09/724,803) Examiner: Alessandro V. Amari
Filed: November 28, 2000)
For: **DIFFRACTION GRATING FOR WAVELENGTH DIVISION
MULTIPLEXING/DEMULTIPLEXING DEVICES**

RECEIVED
MAY 22 2003
TECHNOLOGY CENTER 2800

To the Commissioner for Patents
Post Office Box 1450
Alexandria, VA 22313-1450

| |
|--|
| <p style="text-align: center;">CERTIFICATE OF MAILING</p> <p>I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Post Office Box 1450, Alexandria, VA 22313-1450</p> <p>on <u>5/19</u>, 2003</p> <p><u>Carol Marsteller</u></p> <p>Signature</p> |
|--|

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

In accordance with Applicant's duty under 37 C.F.R. § 1.56 and 1.97, Applicant hereby submits the attached form PTO-1449 (modified) which lists art cited. The art listed therein, while of some relevance, is not necessarily considered to teach or suggest any aspect of the invention described and claimed in the above-identified patent application. This statement is also not to be construed as a representation that a search has, or has not, been conducted or that no better art exists. Rather, this statement discloses only the best art of which the Applicant is aware.

In considering the art set forth below, it may be noted by the Examiner that certain of the references may contain markings, underlinings or other notations. These markings or notations are not to be construed as drawing the Examiner's attention either to selected parts or away from

other parts of the references. Any such markings were either present on the copies of the references obtained by Applicant, or were made thereon during the study of the references by the Applicant and/or his attorneys.

The Examiner is respectfully requested to consider each of the cited references, indicate such consideration by initialing each reference on the enclosed Form PTO-1449 (modified) and return a copy of the same with the next communication to the Applicant. For the convenience of the Examiner in considering the references, copies of the cited references are enclosed with this communication.

Respectfully submitted,



William F. Esser
Reg. No. 38,053

Jenkins & Gilchrist, P.C.
1445 Ross Avenue, Suite 3200
Dallas, Texas 75202-2799
214/855-4181
214/855-4300 (Fax)



| | | |
|--|---|----------------------------------|
| Form PTO-1449 Modified List of Patents and Publications Cited by Applicant (Use several sheets if necessary) U.S. Patent Department of Commerce Patent and Trademark Office | Docket No.: 62171-28PT | Serial No.: 09/724,803 |
| | Applicants: Gregory G. Cappiello, Robert H. Dueck, and Mikhail N. Sokolskiy | |
| | Filing Date: November 28, 2000 | Group: 2872 |

U.S. PATENT DOCUMENTS

| Examiner Initial | | Document No. | Date | Name | Class | Subclass |
|------------------|----|--------------|------------|--------------------|-------|----------|
| | AA | 4,012,843 | 03/22/1977 | Harada, et al. | 33 | 19 |
| | AB | 4,153,330 | 05/08/1979 | Tomlinson, III | 350 | 96.17 |
| | AC | 4,219,933 | 09/02/1980 | Kita, et al. | 33 | 19 |
| | AD | 4,246,338 | 01/20/1981 | Kaplan | 430 | 496 |
| | AE | 4,387,955 | 06/14/1983 | Ludman, et al. | 350 | 96.19 |
| | AF | 4,846,552 | 07/11/1989 | Veldkamp, et al. | 350 | 162.2 |
| | AG | 5,007,708 | 04/16/1991 | Gaylord, et al. | 350 | 162.2 |
| | AH | 5,061,025 | 10/29/1991 | Debesis | 359 | 18 |
| | AI | 5,080,465 | 01/14/1992 | Laude | 359 | 571 |
| | AJ | 5,085,496 | 02/04/1992 | Yoshida, et al. | 359 | 569 |
| | AK | 5,216,680 | 06/01/1993 | Magnusson, et al. | 372 | 20 |
| | AL | 5,420,719 | 05/30/1995 | Montgomery, et al. | 359 | 566 |
| | AM | 5,422,745 | 06/06/1995 | Williams, et al. | 359 | 3 |
| | AN | 5,450,512 | 09/12/1995 | Asakura | 385 | 48 |

| | |
|-----------------------|------------------|
| Date Examined: | Examiner: |
|-----------------------|------------------|

RECEIVED
MAY 22 2003
TECHNOLOGY CENTER 2800



Form PTO-1449 Modified

List of Patents and Publications
Cited by Applicant
(Use several sheets if necessary)U.S. Patent Department of Commerce
Patent and Trademark OfficeDocket No.:
62171-28PTSerial No.:
09/724,803Applicants:
Gregory G. Cappiello, Robert H. Dueck, and Mikhail N.
SokolskiyFiling Date:
November 28, 2000Group:
2872

U.S. PATENT DOCUMENTS

| Examiner Initial | | Document No. | Date | Name | Class | Subclass |
|---------------------|----|--------------|------------|-----------------|-------|----------|
| | AO | 5,793,912 | 08/11/1998 | Boord, et al. | 385 | 37 |
| | AP | 5,835,458 | 11/10/1998 | Bischel, et al. | 369 | 44.12 |
| | AQ | 5,907,436 | 05/25/1999 | Perry, et al. | 359 | 576 |
| | AR | 5,912,997 | 06/15/1999 | Bischel, et al. | 385 | 15 |
| | AS | 5,914,811 | 06/22/1999 | Chen, et al. | 359 | 495 |
| | AT | 5,946,128 | 08/31/1999 | Pack | 359 | 305 |
| | AU | 5,970,190 | 10/19/1999 | Fu, et al. | 385 | 37 |
| | AV | 6,002,522 | 12/14/1999 | Todori, et al. | 359 | 573 |
| | | | | | | |

Date Examined:

Examiner:

RECEIVED
MAY 22 2003
TECHNOLOGY CENTER 2800



Form PTO-1449 Modified

List of Patents and Publications
Cited by Applicant
(Use several sheets if necessary)

U.S. Patent Department of Commerce
Patent and Trademark Office

Docket No.:
62171-28PT

Serial No.:
09/724,803

Applicants:
Gregory G. Cappiello, Robert H. Dueck, and Mikhail N.
Sokolskiy

Filing Date:
November 28, 2000

Group:
2872

FOREIGN PATENT DOCUMENTS

| Examiner Initial | | Document No. | Date | Country | Translation | |
|---------------------|----|-----------------|------------|---------|-------------|----|
| | | | | | Yes | No |
| | BA | WO 99/41858 | 08/19/1999 | PCT | x | |
| | BB | EP 1 001 287 A2 | 05/17/2000 | EPO | x | |

OTHER DOCUMENTS

| Examiner Initials | | Author, Title, Date, Pertinent Pages, Etc. |
|----------------------|----|--|
| | CA | Boyd, et al., "High-Efficiency Metallic Diffraction Gratings for Laser Applications" <i>Applied Optics</i> , Vol. 34, No. 10, April 1, 1995, pp. 1697-1706 |
| | CB | Perry, et al., "High-Efficiency Multilayer Dielectric Diffraction Gratings" <i>Optics Letters</i> , Vol. 20, No. 8, April 15, 1995, pp. 940-942 |
| | CC | Harada, et al., "Transfer Function Matrix Measurement of AWG Multi/Demulti-Plexers" <i>IEICE Trans. Comm.</i> Vol. E82-B, No. 2, February 1999, pp. 401-405 |
| | CD | Iida, et al., "Holographic Fourier Diffraction Gratings with a High Diffraction Efficiency Optimized for Optical Communication Systems" <i>Applied Optics</i> , Vol. 31, No. 16, June 1, 1992, pp. 3015-3019 |
| | CE | Iida, et al., "Narrow-Band Ten-Channel Optical Multiplexer and Demultiplexer Using a Fourier Diffraction Grating" <i>Applied Optics</i> , Vol. 31, No. 20, July 20, 1992, pp. 4051-4057 |
| | CF | Chowdhury, "Design of Low-Loss and Polarization-Insensitive Reflection Grating-Based Planar Demultiplexers" <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , Vol. 6, No. 2, March/April 2000, pp. 233-239 |
| | CG | Graf, "Fabrication and Evaluation of an Etched Infrared Diffraction Grating" <i>Applied Optics</i> , Vol. 33, No. 1, January 1, 1994, pp. 96-102 |
| | | |

Date Examined:

Examiner:

RECEIVED
MAY 22 2003
TECHNOLOGY CENTER 2800



| | | | |
|---|----|--|----------------------------------|
| Form PTO-1449 Modified List of Patents and Publications Cited by Applicant (Use several sheets if necessary) U.S. Patent Department of Commerce Patent and Trademark Office | | Docket No.: 62171-28PT | Serial No.: 09/724,803 |
| | | Applicants: Gregory G. Cappiello, Robert H. Dueck, and Mikhail N. Sokolskiy | |
| | | Filing Date: November 28, 2000 | Group: 2872 |
| Examiner Initials | | Author, Title, Date, Pertinent Pages, Etc. | |
| | CH | Simova, et al., "A Complete System for Characterization of Spectrally Selective Fiber-Optic Devices" <i>Part of the 18th Congress of the International Commission for Optics: Optics for the Next Millennium</i> , SPIE Vol. 3749, August 1999, pp. 124-25 | |
| | CI | Simova, et al., "Spectral Characterization and Chromatic Dispersion Measurements in Fiber Bragg Gratings for Dispersion Compression" <i>IEEE Instrumentation and Measurement Technology Conference</i> , May 18, 1998, pp. 712-715 | |
| | CJ | Garrett, et al., "Ultra-Wideband WDM Transmission Using Cascaded Chirped Fiber Gratings" <i>AT&T Labs, Optical Fiber Communication</i> , Optical Society of America, February 1999, pp. PD15-1 - PD15- 3 | |
| | CK | Chua, et al., "Component Technology Enables High-Capacity DWDM Systems" <i>Lightwave</i> , August 1998, pp. 64, 66, 68-69 | |
| | | | |

| | |
|-----------------------|------------------|
| Date Examined: | Examiner: |
|-----------------------|------------------|

RECEIVED
MAY 22 2003
TECHNOLOGY CENTER 2800